

10/069557
JCT Rec'd PCT/PTO 21 FEB 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|----------------|---|-------------|----------------|
| Application of | : Roth, G.J. et al | Docket No.: | 5/1271PCT |
| Serial No. | : To be Assigned |) Art Unit: | To be Assigned |
| Filed | : February 21, 2002 |) Examiner: | To be Assigned |
| For | : New Substituted Indolinones, their manufacture and their use as medicaments | | |

Commissioner for Patents
Washington, D.C. 20231

February 21, 2002

TRANSMITTAL LETTER FOR INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith concerning the subject application is an Information Disclosure Statement under 37 C.F.R. §§1.56 and

☒ 1.97(b). This Statement is being filed within three months of the filing date of a national application; within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or before the mailing of a first Office Action on the merits, whichever event occurs last.

☐ 1.97(c). This Statement is being filed after the time period specified in 37 C.F.R. §1.97(b), but before the mailing date of either a final action under §1.113 or a notice of allowance under 37 C.F.R. §1.311, whichever occurs first. This Statement is being accompanied by:

☐ A certification as specified in 37 C.F.R. §1.97(e); or

☐ The fee set forth in 37 C.F.R. §1.17(p).

☐ The Assistant Commissioner is hereby authorized to charge payment of the \$240.00 fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 02-2955.

☐ 1.97(d). This Statement is being filed after the mailing of either a final action under 37 C.F.R. §1.113 or a notice of allowance under 37 C.F.R. §1.311, whichever occurs first, but before payment of the issue fee. This Statement is being accompanied by a certification as specified in 37 C.F.R. §1.97(e), a petition requesting consideration of this Statement, and the petition fee set forth in 37 C.F.R. §1.17(i).

☐ The Assistant Commissioner is hereby authorized to charge payment of the \$130.00 fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 02-2955.

☒ The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. §1.16 and any patent application processing fees under 37 C.F.R. §1.17, or credit any overpayment of same, to Deposit Account No. 02-2955.

Triplicate copies of this form are enclosed.

Respectfully submitted,



Anthony P. Bottino
Attorney for Applicant(s)
Reg. No. 41,629

Patent Department
Boehringer Ingelheim Corp.
900 Ridgebury Road
P.O. Box 368
Ridgefield, CT. 06877
Tel.: (203) 791-6764

EXPRESS MAIL LABEL NO. EL562432177US
Deposited: February 21, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.



By: Anthony P. Bottino
Reg. No. 41,629

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|---|---|--------------------------|-------------------|------------------------|-----------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | Complete if Known | | | |
| | | Application Number | To be assigned | | |
| | | Filing Date | February 21, 2002 | | |
| | | First Named Inventor | Roth, G.J. et al | | |
| | | Art Unit | To be assigned | | |
| | | Examiner Name | To be assigned | | |
| Sheet | 1 | of | 2 | Attorney Docket Number | 5/1271PCT |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------------------|--------------------------|--|--------------------------------|--|---|
| Examiner Initials ¹ | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number - Kind Code ² (if known) | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | |
|-----------------------------------|--------------------------|---|--------------------------------|--|---|----------------|
| Examiner Initials ¹ | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | | WO 99/15500 | 04/01/1999 | Glaxo Group Ltd. | | |
| | | DE198 166 24 (Eng. Trans.) | | Boehringer Ingelheim | | |
| | | DE 198 150 20 (Eng. Trans.) | | Boehringer Ingelheim | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|---|---|----|---|--|--|
| Substitute for form 1449B/PTO | | | | <div>Complete if Known</div> <div>Application Number</div> <div>To be assigned</div> | |
| <div>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</div> <div>(use as many sheets as necessary)</div> | | | | <div>Filing Date</div> <div>February 21, 2002</div> | |
| | | | | <div>First Named Inventor</div> <div>Roth, G.J. et al</div> | |
| | | | | <div>Group Art Unit</div> <div>To be assigned</div> | |
| | | | | <div>Examiner Name</div> <div>To be assigned</div> | |
| | | | | <div>Attorney Docket Number</div> <div>5/1271PCT</div> | |
| Sheet | 2 | of | 2 | | |

[illegible]

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.